




# KANSAS DEPARTMENT OF CORRECTIONS

	<b>INTERNAL MANAGEMENT POLICY AND PROCEDURE</b>	<b>SECTION NUMBER</b>  <b>02-111</b>	<b>PAGE NUMBER</b>  <b>1 of 5</b>
		<b>SUBJECT:</b>  <b>HUMAN RESOURCES: Staffing Analysis, Operational Staffing, and Roster Management</b>	
<b>Approved By:</b>  <b>Secretary of Corrections</b>		<b>Original Date Issued:</b>	<b>05-21-94</b>
		<b>Current Amendment Effective:</b>	<b>05-16-05</b>
		<b>Replaces Amendment Issued:</b>	<b>05-21-02</b>
<b>Reissued By:</b>  <b>Policy &amp; Procedure Coordinator</b>		The substantive content of this IMPP has been reissued as per the appropriate provisions of IMPP 01-101. The only modifications within the reissue of this document concern technical revisions of a non substantive nature.  <b>Date Reissued:</b>	
		<b>06-13-11</b>	

## POLICY

To ensure that each facility is sufficiently and efficiently staffed, a systematic staff analysis shall be conducted annually at each facility. (ACO 2-1C-06) Uniformed staff shall be assigned to fill posts in accordance with the roster developed based upon the annual staff analysis report.

Temporary adjustments to the roster may be made to accommodate changes to implement the Department's mission, or the facility's role in fulfilling the mission, physical plant operations, or programs, or to comply with a change in statute, regulation, policy, or accreditation standard. Each warden shall develop an operational staffing plan and identify posts within his or her facility, that can be closed or collapsed without jeopardizing facility security while ensuring the ability to move available staff to vital posts or areas that require security coverage.

## DEFINITIONS

Closed post: A post included in a facility's staff analysis report to which no staff is assigned during a specific shift due to staffing needs.

Collapsible post: A post in the facility staffing plan that is not staffed for a portion of a specific shift when an officer is reassigned to another post.

Daily roster: A document that reflects daily assignment of uniform staff to each post approved in the facility, on each shift and day, according to the master roster; accounts for and shows the status of all uniform staff, including all staff absent and the reason for the absence; delineates the assignment of open relief staff; and reflects the temporary detachment of uniform staff.

Master roster: A document that reflects the assignment of uniform staff to each post approved in the staff analysis report; or indicates that a post included in the staff analysis report is vacant, and the reason for the vacancy; and indicates which staff serve as fixed relief for each post. This document also reflects the shift and days off for each post; and includes post titles, operational staffing priority, roster number, employee name, date assigned to post, qualification date (e.g., weapons, commercial driver's license), days off and days worked.

Operational staffing plan: A list of posts to be closed or collapsed, for each shift, in the event staffing needs or availability require such action.

Relief factor: A mathematical calculation that determines the number of staff necessary to provide adequate coverage for a post or posts..

Rostering officer: A person(s) designated by the warden to be responsible for preparing rostering documents for the facility, including the facility's post analysis, master rosters, and daily rosters.

Staff analysis report: A document that reflects each regular position approved for a facility, with pertinent information about the position, including title, classification, minimum staffing priority, post order number, shift assignment, the number of days the post is filled, whether the post requires relief, the appropriate relief factor to be applied, and the total number of staff needed to cover the post.

Vacant post: A post included in a facility's staff analysis report to which no staff is assigned for an extended period, longer than one shift, due to staffing needs.

## **PROCEDURES**

### **I. Staff Analysis Report (ACO 2-1C-06)**

- A. Each facility shall develop and manage rosters from an accurate and current staff analysis report.
  - 1. Each facility staff analysis report shall be completed on the Facility Staff Analysis Report (Attachment A, Form #02-111-001).
    - a. The staff analysis report shall use post titles contained in the List of Post Titles, Attachment B.
  - 2. The facility's staff analysis report shall be completed by the rostering officer, approved by the warden, and submitted to the Deputy Secretary of Facility Management for review no later than March 1 of each year.
  - 3. The Deputy Secretary of Facility Management shall confer with the warden of each facility about the staff analysis report and reach an agreement about the staff analysis report of the facility. The Deputy Secretary of Facility Management shall make such revisions to the staff analysis report as is agreed upon with the warden.
  - 4. By March 30, the Deputy Secretary of Facility Management shall submit the agreed upon staff analysis report to the Secretary for review and approval.
  - 5. The Secretary shall confer with the Deputy Secretary of Facility Management, and the wardens, if necessary, to establish a final staff analysis report for each facility, by April 15 of each year.
  - 6. The final staff analysis report shall be distributed to the warden and the Human Resource Manager for:
    - a. Budget requests made for the following fiscal year; and,
    - b. Rostering in the facility.

### **II. Temporary Posts**

- A. If the need arises for a new post before March 1, the facility shall establish a temporary post and temporarily detach existing staff to that post.
  - 1. Need for a new post shall be based upon a change in the department's mission or the facility's role in fulfilling the mission, physical plant, operations, or programs at the facility, or a change in statute, standard, regulation, or policy.

2. Upon the establishment of a temporary post, the facility's rostering officer shall reflect the temporary post on the facility's master and daily rosters, indicating that the post is temporary.
  - a. The facility rostering officer shall carefully record and document the staff time devoted to temporary posts.
3. No temporary post shall exist for more than a period of 90 days.
4. Prior to the end of the 90-day period, the warden of the facility shall make a determination as to whether the duties being performed on the temporary post require the formation of a new and permanent post. If the warden determines that the new post is necessary, she/he shall submit a proposal to the Deputy Secretary of Facility Management prior to the end of the 90-day period.
  - a. The new post proposal shall include:
    - (1) A post title;
    - (2) Duties of the post;
    - (3) Justification of need for the post; and,
    - (4) The facility's proposal for filling the post (e.g., close another post, request additional staff).
  - b. If the warden of the facility determines that the post should remain temporary, but needs to extend beyond 90 days, the warden may submit a proposal for a temporary post to last beyond 90 days, and the proposal shall include the same information required by Section II.A.4.a. above.
  - c. If the Deputy Secretary of Facility Management approves a new permanent post, the affected facility shall submit to the KDOC Director of Human Resources, a proposal for and documentation to support the position classification and to specify from where the FTE (position limitation) will come.

### **III. Roster Preparation**

- A. The facility rostering officer shall prepare master and daily rosters consistent with the staff analysis report agreed upon for the facility.
  1. Master rosters shall be prepared by the rostering officer from the staff analysis report no later than May 15 of each year.
    - a. A new master roster shall be prepared whenever any change in rostering occurs and according to the needs of the facility.
    - b. Master rosters shall be prepared consistent with the Department's post rotation policy, IMPP 02-102.
  2. Daily rosters shall be prepared by the rostering officer and posted at least five (5) days in advance of their effective date.
  3. The facility's master roster and daily rosters shall reflect all posts (including closed, collapsed, and vacant posts) and only those posts included in the facility's staff analysis report.

#### **IV. Post Closings**

- A. The warden shall identify posts within the facility, that may be collapsed, closed, or vacant when it is necessary to provide security coverage for other more vital areas.
  - 1. The rostering officer shall prepare an operational staffing plan in accordance with this determination, reflecting which posts shall be closed or collapsed.
    - a. The list shall be arranged in priority order for each shift with the posts having the least impact on the daily operation of the facility collapsed, closed, or vacated first.
    - b. The operational staffing plan shall be reviewed and updated as necessary.
  - 2. The operational staffing plan shall be implemented, as necessary, through the facility's rostering documents.

#### **V. Staff Audit Coordinator**

- A. The Deputy Secretary of Facility Management and Director of Human Resources shall designate a staff member within Central Office to serve as the Staff Audit Coordinator.
  - 1. The Staff Audit Coordinator shall be responsible for reviewing the staff analysis report, master roster, and daily rosters of each facility, on at least a semi-annual basis, to ensure that the procedures outlined in this policy have been properly implemented.
  - 2. The Staff Audit Coordinator shall provide assistance to facility rostering staff in the implementation of roster management policies and procedures.
  - 3. The Staff Audit Coordinator shall be responsible for conducting reviews of appropriate documents generated by each facility, on at least an annual basis, to ensure that staff are being rostered and deployed in conformance with:
    - a. The facility's approved staff analysis report;
    - b. The facility's master roster and daily rosters; and,
    - c. The Department's personnel policies and procedures.
  - 4. If during a document review the Staff Audit Coordinator determines that a change in the facility's staffing may be needed, he or she shall confer with the warden and make a decision about whether such a change is necessary.
  - 5. If the Staff Audit Coordinator and the warden conclude that a change is necessary, a proposal shall be submitted to the Deputy Secretary of Facilities Management for review and approval.

#### **VI. This IMPP shall serve as final policy, and no facility general orders shall be allowed on this subject.**

**NOTE:** The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes

and/or regulatory requirements of the Federal Government and the state of Kansas This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

#### **REPORTS REQUIRED**

<b><u>Name/Type of Report</u></b>	<b><u>By Whom/To Whom</u></b>	<b><u>Due</u></b>
Staff Analysis Report of Facility Management	Warden to Deputy Secretary	March 1
Final Staff Analysis Report	Deputy Secretary of Facility Management to Secretary of Corrections	March 30

#### **REFERENCES**

IMPP 02-102  
ACO 2-1C-06

#### **ATTACHMENTS**

Attachment A - Facility Staff Analysis Report, 1 page  
Attachment B - List of Post Titles, 2 pages

## FACILITY STAFF ANALYSIS REPORT

[illegible]

\*Relief Factor = Calculate relief factor by: 1.) subtracting the average number of days an employee is absent from his or her post due to regular days off, annual leave, sick leave, training, etc. (A), from the number of days the post is scheduled to be filled (B); 2.) dividing that number (C) into the number of days the post is scheduled to be filled (B); 3.) multiplying the result (D) by the number of FTE (N) permanently assigned to the post. (B – A = C; B ÷ C = D; D X N = Relief factor).

## LIST OF POST TITLES

### Kansas Department of Corrections

TITLE	APPROVED ABBREVIATIONS	EXPLANATION
Activities Officer	Act Ofcr	Recreation; Canteen
Administrative Captain	Adm Cpt	NOTE: Often one of these two posts performs rostering duties. Perhaps break out that percentage of duties, which are rostering, and reflect as Rostering Officer.
Administrative Lieutenant	Adm Lt	
Admission & Discharge OIC	A&D OIC	
Admission & Discharge Officer	A&D Ofcr	
Armory Officer	Arm Ofcr	
Assistant Shift Supervisor	Asst Shft Super	Shift Lieutenants or Sergeants.
Chief of Security	COS	Major or Captain
Clinic Officer	Cln Ofcr	
Control Officer	Cntrl Ofcr	Use this title for all control center, rotunda or other inside access or control posts. In parentheses indicate area or further description if necessary.
Disciplinary Administrator	Disc Admin	
Entry Officer	Entr Ofcr	Use this title for all outside entry points, including sally ports, gates or access shacks. In parentheses indicate area or further description if necessary.
Escort Officer	Escrt Ofcr	All posts that transport inmates, on grounds or off grounds, but that are not part of the DOC Transportation HUBS, should be given this title. In parentheses indicate more specific duties or area if necessary. NOTE: In facilities with Special Security Teams these posts are probably consumed within that team.
Food Service Officer	FS Ofcr	Kitchen and dining room officers.
Industries Officer	Indstr Ofcr	If necessary, indicate specific program in parentheses.
Intelligence & Investigation OIC	I&I OIC	
Intelligence & Investigation Officer	I&I Ofcr	
Key Control Officer	Key Cntrl Ofcr	
Laundry Officer	Lndry Ofcr	
Living Unit Officer	LU Ofcr	Indicate living unit by name, number or letter in parentheses. Supervisors are highest ranking officer assigned to or over living units; OIC's are next ranking officer; officers are line staff.
Living Unit OIC	LU OIC	
Living Unit Supervisor	LU Super	
Locksmith Officer	Lcsmth Ofcr	

TITLE	APPROVED ABBREVIATIONS	EXPLANATION
Patrol Officer	Ptrl Ofcr	Give this title to perimeter, grounds and compound officers. Indicate in parentheses if the officer is assigned to perimeter, grounds or compound, as appropriate; if the officer covers all areas do not specify further.
Program Officer	Prg Ofcr	Specify program if necessary in parentheses.
Property Officer	Prop Ofcr	
Rostering Officer	Rstrg Ofcr	May be same person as administrative captain or lieutenant; assign percentage of time spent rostering to this post, e.g., .3, .5, .7, etc. If a different post does rostering, designate that post as the rostering officer.
Safety Officer	Sfty Ofcr	
Shift Supervisor	Shft Super	Shift Captains or Lieutenants.
Special Security Team Supervisor	SST Super	Generally the day shift supervisor of this team is higher ranking than the evening shift supervisor of this team. The highest ranking officer is the supervisor, and the second ranking is the OIC.
Special Security Team OIC	SST OIC	
Special Security Team Officer	SST Ofcr	
Tool Control Officer	Tool Cntrl Ofcr	
Tower Officer	Twr Ofcr	Designate tower by number or name in parentheses.
Training Assistant Officer	Trg Asst Ofcr	
Unit Supervisor	Unit Super	To be used <i>only</i> for heads of free standing units.
Utility Officer	Utly Ofcr	This is NOT the same as your relief officers.
Visiting Officer	Vis Ofcr	If necessary, specify area or duties further in parentheses.
Work Detail Officer	Wk Det Ofcr	Specify the detail in parentheses.
Work Detail Supervisor	Wk Det Super	The person who supervises work detail officers.